

DAA Filing Official Form 700 Procedures

STEP	ACTION	INSTRUCTIONS
***	Form 700 Database Verification	<p>The CDFA Filing Officer will send a copy of the Form 700 Database to the CEO/Secretary Manager no later than January 31st.</p> <ul style="list-style-type: none"> Review the list to identify any changes/corrections to be made (assuming office or leaving office Form 700s, if needed). To report changes complete a <u>Designated Filer Tracking (DFT)</u>. See Form 700 homepage on right under <i>Forms</i>. Return the DFT sheet to the CDFA Filing Officer within five (5) days of the stated deadline.
****	Designated Filer Tracking Instructions	<p>The DFT is a <u>Recurring Use</u> document used throughout the year to <i>notify the CDFA Filing Officer of changes to the designated filer list.</i></p> <p><u>DO NOT</u> add changes to a <u>previously used</u> DFT. Complete a <u>NEW</u> document for each subsequent change.</p> <ol style="list-style-type: none"> Name – List ALL names of designated filers, including filers who have left office and have not been reported to CDFA within the last year. Position – Board member or classification of staff. DATE – Assuming or Leaving REQUIRED (see Form 700: Section 3). Email Address – this is necessary for CDFA/FPPC communications. Date Received – Date filed with the DAA and date stamped as such. Type of Form – Assuming/Annual/Leaving CEO/Secretary Manager Signature Required <p style="text-align: center;"><u>Mail or Scan/Email DFT to the CDFA Filing Officer.</u></p>
1.	Notification of Annual Filing	<p>The CDFA Filing Officer will notify the DAA Filing Official when the current year Form 700 is available (January or February).</p>
2.	Annual Notification: Letter	<p>The CDFA Filing Officer will prepare an Annual Notification letter to be sent to each designated filer.</p> <p>This letter will be used to announce the current year filing period. <i>What's New!</i> information may also be included.</p> <p><u>Annual Notification Letter 2013/2014</u></p> <p><i>IMPORTANT! File, Save As to the desktop. Open the document, copy and paste it into an email, as an email notification, or print letter for physical distribution.</i></p>

3.	Annual Notification: Distribution	Distribute the Annual Notification Letter to DAA staff and Board Members identified in the Conflict of Interest Code via email, mail, or hand delivery.														
4.	Annual Notification: Tracking	<p>It is required that Annual Notifications be tracked for proof of delivery purposes.</p> <ol style="list-style-type: none">1. Hand delivery should be done at a board of directors meeting and put in the meeting minutes to show proof of attendance/distribution.2. Mail delivery should include a <i>Returned Receipt Requested</i>.3. Email delivery receipts are different with each program. You must determine what will work for your program. <p>Outlook Users: The following process should be used to put Delivery Receipt Requested tracking on the outgoing email.</p> <table><tr><td>1.</td><td>Create a folder in the Outlook Cabinet titled Annual Filing Form 700 to use in the collection of delivery receipt messages.</td></tr><tr><td>2.</td><td>Open a New Email</td></tr><tr><td>3.</td><td>Address: INCLUDE <u>ALL</u> DESIGNATED FILERS IN THE EMAIL.</td></tr><tr><td>3.</td><td>Click on Options</td></tr><tr><td>4.</td><td>Click Tracking - Check Request Delivery Receipt</td></tr><tr><td>5.</td><td>Choose Save Sent Item and folder in Annual Filing Form 700. This saves the original message only. It is suggested that you move and archive the return receipts for six months.</td></tr><tr><td>6.</td><td>Review Tracking: Open the original email and click on the Tracking icon. This is a complete list of all who have received the message and is continuously updated. PRINT THIS RECORD AS CONFIRMATION THE MESSAGE HAS BEEN SENT. KEEP HARD COPIES FOR FOUR (4) YEARS.</td></tr></table> <p>The CEO should maintain a copy of all written notifications within the fair office.</p>	1.	Create a folder in the Outlook Cabinet titled Annual Filing Form 700 to use in the collection of delivery receipt messages.	2.	Open a New Email	3.	Address: INCLUDE <u>ALL</u> DESIGNATED FILERS IN THE EMAIL.	3.	Click on Options	4.	Click Tracking - Check Request Delivery Receipt	5.	Choose Save Sent Item and folder in Annual Filing Form 700 . This saves the original message only . It is suggested that you move and archive the return receipts for six months.	6.	Review Tracking: Open the original email and click on the Tracking icon. This is a complete list of all who have received the message and is continuously updated. PRINT THIS RECORD AS CONFIRMATION THE MESSAGE HAS BEEN SENT. KEEP HARD COPIES FOR FOUR (4) YEARS.
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5.	Form 700: Collected and Reviewed	Collect all Form 700s and review for required information using the Form 700 Review Procedure . The cover page must include; position, fair name & DAA number, type of form (annual, assuming, or leaving office), number of attached pages (1-?) , and original signature . Form 700s that are incomplete or in error must be returned to the filer for correction and are considered Non-filers until the corrected form is received.														
6.	Form 700: Date Stamp	Form 700s are not considered filed timely until they are received and date stamped by the CDFA Filing Officer.														

8.	FPPC Copy	<p>Send the ORIGINAL Form 700 to the CDFA Filing Officer.</p> <p>Send a COPY of each Form 700 for Board Members ONLY to the Fair Political Practices Commission.</p> <ul style="list-style-type: none"> They should be mailed to: Fair Political Practices Commission Attn: Rene Robertson 428 J Street, Suite 620 Sacramento, CA 95814 If you have the ability to scan the documents, they can be emailed to: 700copies@fppc.ca.gov
9.	Retain All Documents	<p>CDFA shall keep all original completed documents on file with easy access for not less than seven years.</p> <ol style="list-style-type: none"> Form 700 Notification Receipts All Non-filer Correspondence

Form 700 – Public Access

The California Department of Food and Agriculture is responsible for retaining all documents.

- Records must be available, during regular business hours, no later than the second business day after statement is received.
- No conditions for inspection or reproductions may be imposed.
- No identification or information may be required of persons seeking access to statements.
- Copies must be provided for no more than 10 cents a page.

NOTE: Requests should be directed to the CDFA Filing Officer.

Form 700 - Incorrect or Non-Filed

1.	Incomplete Form 700s	Form 700s that are found to be incomplete will be returned to the Designated Filer for correction or amendment. The Designated Filer then becomes a Non-filer.
2.	<p>Incomplete Form 700s:</p> <p>Follow-up</p> <p>DAA Filing Official</p>	<p>Follow-up management is necessary to guarantee filing by the Non-filer. If, after two reminder emails/phone calls, there is no response, an email should be sent to the CDFA Filing Officer to include the following information:</p> <ul style="list-style-type: none"> Non-filer Name Non-filer Address Type of Reminder made w/dates (# of emails, phone calls, etc.) <p>Keep copy of ALL correspondence on file.</p>

3.	Non-filer Notification CDFA Filing Officer	<p>The notification process and deadlines for Non-filers is as follows:</p> <p>NOTE: Names and Addresses must be provided to the CDFA Filing Officer in order to process the Notices.</p> <ol style="list-style-type: none"> 1. Reminder Email sent 30 days after the due date. 2. First Late Notice is sent out 60-120 days after final filing date. 3. Second Late Notice is sent out within 30-60 days after First Late Notice. 4. Non-filers are reported to the CDFA Legal Office and/or Fair Political Practices Commission for action. <p>Each Notice will include a copy of the CDFA policy Guidelines for Untimely Submission of Form 700s.</p>
4.	Non-filer Notification Penalties CDFA Filing Officer	<p>After the 2nd Notice the Department will administer the late filing penalty pursuant to its policy <i>Guidelines for Untimely Submission of Form 700s</i> for all Non-filers.</p>

Gifts and Honoraria

[Gifts and Honoraria](#)

This is a general overview of the regulations.

Gifts to an Agency

1. [Regulation 18944. Gifts to an Agency](#)
2. [Form 801 Gift to Agency Reporting](#)

- Form 801 – Gift to Agency Report and Instructions
- Questions and Answers, Part 1 (07/11)
- Questions and Answers, Part 2 (11/08)

This form is for use by the agency and those included in the CDFA Conflict of Interest Code to disclose payments made to the agency when the payments provide a personal benefit to an official of the CDFA.

Gifts – Tickets and Passes

1. [Regulation 18944.1 Agency Provided Tickets or Passes to Events](#)

Included in this regulation are the criteria for the development of the recommended ticket policy. Examples of Ticket Policies for Agricultural Districts:

- [32nd District Agricultural Association 5.31.2012](#)
- http://www.delmarfairgrounds.com/pdf/form802_ticket_policy.pdf
- Other entity ticket policies can be found on the [FPPC website](#) by conducting a search for ***Ticket Policies***.

2. [Form 802 - Agency Reporting of Ceremonial Role Events and Ticket/Admission Distributions](#)

- Form 802 (4/12) - Agency Report of: Ceremonial Role Events and Ticket/Admission Distributions
- Form 802 Fact Sheets

Website Posting

Each agency that maintains a website must also post the form on its website. The Form 801 should be sent to the CDFA Filing Officer within 30 days of the use of the payment. It will then be posted to the department's website.

Contact Information

Designated Filers should be directed to contact the CDFA Filing Officer for help regarding completion of Form 700 at:

Leronne Wagner
916/403-6613
Human Resources Branch
916/654-0790

Contact the Fair Political Practices Commission for technical questions regarding type of information to report at:

California Fair Political Practices Commission
428 J Street, Suite 620 • Sacramento, CA 95814
Advice Email: advice@fppc.ca.gov
Toll-free advice line: 1 (866) ASK-FPPC • (866) 275-3772
Telephone: (916) 322-5660 • Website: www.fppc.ca.gov

For questions regarding the content of this page contact Leronne at 916/403-6613 or email CDFAForm700@cdfa.ca.gov.